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ABSTRACT

This workbook is intended to help the school board and superintendent tailor a performance appraisal system to suit their own needs. It consists of ten separate exercises that guide the board and superintendent through the planning and decision-making that must precede successful performance appraisal. The workbook contains exercises through which the board and superintendent will (1) determine what they want from evaluation; (2) deal constructively with board member concerns related to the traits, skills, and behavior of the superintendent; (3) reach agreement on how to conduct regular appraisal of the superintendent's performance; and (4) provide a sound basis for appraisal of past performance and for planning future directions. (Author/MLF)

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Ten exercises toward planning

A SUPERINTENDENT APPRAISAL SYSTEM

A Companion Workbook to
Planned Appraisal of the Superintendent

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"A management which does not define performance as a batting average is a management that mistakes conformity for achievement, and absence of weaknesses for strengths. It is a management that discourages and demoralizes its organization. The better a man is, the more mistakes he will make--for the more new things he will try.

"The man who consistently renders poor or mediocre performance should be removed from his job for his own good. People who find themselves in a job that exceeds their capabilities are frustrated, harassed, anxiety-ridden people. One does not do a man service by leaving him in a job he is not equal to. Not to face up to man's failure in a job is cowardice rather than compassion.

"One owes it to all the people in the organization not to put up with a manager who fails to perform. The entire organization is diminished by a manager who performs poorly or not at all. It is enriched by the man who performs superbly."

Peter Drucker
Management: Tasks Responsibilities, Practices

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Developing an Appraisal Process

This workbook is a "do-it-yourself" project for the school board and superintendent who want to develop a superintendent appraisal system. It also is a useful tool for the board and superintendent who are not sure they need or want such a system. For those who have studied the companion IASB handbook, *Planned Appraisal of the Superintendent,* it ought to be clear that appraisal demands answers to such questions as:

- Why do we want to appraise the superintendent?
- What can we appraise?
- How will we do it?
- What can we expect as a result?
- Do the board and superintendent agree on the answers to these questions?

Although these questions look simple, a failure to answer them adequately produces great frustration for school boards embarking on evaluation programs. Evaluation systems frequently result in disappointment and failure when:

1) The school board has no clear purpose in mind. Or it selects an evaluation process that is poorly suited to its purposes.

2) Board members and the superintendent do not enjoy open and honest communication with one another.

3) Evaluation is viewed as a form of punishment for past mistakes rather than as a process of personal and professional growth and as a way to improve the school district.

4) The board does not assess its own performance, perhaps failing to realize that how the superintendent functions is influenced greatly by how the board functions.

This workbook will take the board and superintendent through a developmental process designed specifically by IASB to overcome these problems. Stated briefly, the workbook contains exercises through which the board and superintendent will:

1) Determine what they want from evaluation;

2) Deal constructively with board member concerns related to the traits, skills, and behavior of the superintendent;

3) Reach agreement on how to conduct regular appraisal of the superintendents' performance;

4) Provide a sound basis for appraisal of past performance and for planning future directions.

NOTE: The 15 forms called for in the exercises are located in the pocket at the rear of this workbook. Please check before beginning the exercises to be certain you have all of them, numbered consecutively, one through 15. If any are missing, call the IASB Communications Department at 217/528-9688.

Getting Started

Appraisal of the superintendent's performance need not be a difficult or time-consuming process. Developing a system at the outset, however, is time consuming, for it involves a thorough examination of school district functions and the board-superintendent relationship. This workbook is designed to take the board and superintendent through the process of development as rapidly as possible without missing any important bases.

This workbook process will involve an extensive amount of evaluation—both of the superintendent's work and the school board's operating methods. However, completion of the ten exercises does not end the appraisal. It merely readies the board and superintendent for regular annual appraisals. The annual appraisal will consume just a couple of hours each year. The development—that is, the completion of this workbook—may consume 15 to 20 hours.

One advantage of this workbook process is that certain decisions which the board and superintendent will make—if they are good decisions—may remain valid and useful for several years. Once the ten exercises are completed, only Exercise Ten will be repeated annually thereafter (along with a review of Exercise Nine to determine whether priorities of the board and/or superintendent have changed). Every two or three years, there may be a need to repeat Exercise Eight, giving new board members an opportunity to join in a discussion of the superintendent's managerial performance. The exercise may or may not produce areas needing improvement, but it will in any case promote open discussion of what management is and encourage board unanimity in perceiving the superintendent's job.

To get this developmental process underway, the board and superintendent should review the suggested schedule on page 7. Note that some of the work can be done at home to expedite the meetings.

Before plunging into the exercises contained in this workbook, the board and superintendent must complete some preliminary arrangements. These include:

TIME:

This workbook requires a substantial commitment of time. The exact amount will be determined by the amount of time the work group dwells on each exercise, of course. But the process cannot be completed in one sitting. As a starter, the board should allocate 15 to 20 hours spread over several meetings or a weekend retreat. The results will reflect the amount of time devoted to the project, up to a point. It is essential to keep the process moving.

PLACE:

This process is best conducted some place other than the regular board meeting room or administrative office. A relaxed setting away from school is recommended if feasible.

MEETINGS:

Where the school board is discussing the evaluation of an individual employee, the discussion may be held in closed session. Such meetings are subject to the notice provision of the *Open Meetings Law* in Illinois. IASB suggests that the notice state the purpose of the meetings—"evaluation of the superintendent." The board, however, will want to make certain actions a matter of record by voting on them in a public meeting, such as the adoption of an appraisal policy.

THE COMMUNITY:

The board and superintendent should review "Confidentiality and Community Interest" below and determine what formal actions the board will take at the outset. They also should agree to consider the possibility of subsequent actions in public at the conclusion of the various exercises.

PARTICIPANTS:

This workbook is intended for use by the superintendent and all board members, not by a committee. It is recognized that circumstances may prevent a board member from taking part in all the exercises. However, it is most important that all board members take part in Exercise One, because it involves some crucial discussions regarding the board-superintendent relationship.

LEADERSHIP:

The workbook is just that, a process dependent upon work. All must participate. The challenge is to get everyone involved and still keep the process from bogging down. The designated leader or moderator must be effective.

PREPARATION:

The appraisal process frequently calls for information related to the performance of people or programs, finances, educational results, and existing policies, etc. Someone, probably the superintendent, should be alert to these needs and see that the information is available.

It also is suggested, by way of preparation, that each board member and the superintendent should carefully read the companion handbook to this workbook. It is called *Planned Appraisal of the Superintendent* and is available from IASB. All of the principles applied in this workbook are explained in the handbook.

Once preliminary preparations are out of the way, the board and superintendent are ready to proceed.

The moderator should call the session to order and, as others in the work group follow along in their individual copies, read the background material and instructions. Every participant must understand the procedures.

Confidentiality and Community Interest

Appraisal of the superintendent's performance calls for an examination of most school district functions. Therefore, there may be a certain amount of community interest in the appraisal process. If handled constructively and lawfully, such interest can be beneficial to everyone.

However, discussions in executive session regarding the superintendent's performance may involve sensitive personal issues that are privileged under the *Illinois Open Meetings Act*. Board members will voice some concerns that prove legitimate and some that prove groundless. Open communication is essential. For that reason, it also is essential that board members respect the confidentiality of these discussions. Information regarding the superintendent's performance, behavior, and traits—whether based on fact or opinion—must be left at the meeting by members of the board.

On the other hand, some of the exercises in this workbook are designed to elicit school board desires or plans for the district, rather than its judgements of the superintendent. These exercises may produce information in which the public does have a legitimate interest. For example, conclusions reached by the board and superintendent on such matters as an appraisal policy and procedure or objectives for district improvement ought to (a) reflect community values and (b) be explained and formally adopted in a public meeting. It is always in the best interest of the board and superintendent when the commu-

nity knows where the district is headed and how progress will be measured.

The authors of this workbook recommend, therefore, that:

1) The board should adopt its performance appraisal system at a public meeting.

2) The board should seek public input in establishing district goals and identifying areas where the district needs improvement or growth.

3) As the board proceeds through the developmental activities in this workbook, it should formally adopt, by voting in a public meeting, the following:

a) Board policy and procedures for superintendent appraisal;

b) The list of Management Responsibilities developed in Exercise Four;

c) The Indicators of Effectiveness developed in Exercise Six (some of these will be routine and unexciting; others will express important standards and aims of the board);

d) The superintendent's job description developed in Exercise Seven;

e) Written objectives for the superintendent (or the board) which relate to job responsibilities.

4) The board and superintendent may want to issue a public statement at the conclusion of this workbook and to issue statements from time to time thereafter regarding progress toward district goals and objectives. These statements should be positive and oriented toward district needs and plans for growth, rather than past performance.

5) Where the school board wishes to commend the superintendent, it may be appropriate for the board president to make a public statement at the time the superintendent's contract is renewed. Such a statement can be based on district progress as measured through the appraisal process. This can demonstrate that the commendation is based on evidence rather than blind faith.

6) Board members should not make derogatory comments in public about the superintendent or reveal confidential information about the superintendent's appraisal results.

The board and superintendent may jointly decide on the official adoption and/or publicizing of other related items. However, both the board and superintendent must be comfortable with all procedures related to appraisal if the process is to benefit the district. It is important to reach agreement on what will be made public (and how) and what will not.

Table A—Working Definitions

CUSTODIAL SCHOOL BOARD—Performs only routine legal functions, usually with no policies or goals pertaining to evaluation or improvement. Indicates "rubber stamp" or lack of leadership.

LAY ADMINISTRATIVE SCHOOL BOARD—Makes almost all of the major decisions, including what and how jobs are to be done, usually specifically directing the superintendent to carry out routine duties only.

POLICY MAKING SCHOOL BOARD—Establishes broad goals and objectives for the district and expects the superintendent to determine how the policies are to be implemented.

ADMINISTRATOR - MANAGER TYPE—A management position with authority delegated to make decisions within district policy and with responsibility for the consequences of those decisions.

ADMINISTRATOR - CUSTODIAL TYPE—A management position with responsibility limited to performing specific tasks delegated by the board.

MANAGEMENT RESPONSIBILITIES—Consist of the *district functions* and *management tasks* for which the superintendent is held accountable by the school board.

DISTRICT FUNCTIONS—Are those broadly defined areas of responsibility which describe the major activities of the schools. Examples would be the eight major headings in Table E (page 21).

MANAGEMENT TASKS—Are the specific activities which must be accomplished in order to successfully carry out a *district function.* Examples are the items listed under the major headings in Table E (page 21).

AUTHORITY—The right or power to make a particular decision, take a particular action, or give instruction.

RESPONSIBILITY—The burden for proving that a particular decision or action was correct or legal; liability for the decision or action.

DISTRICT GOALS—Clearly written statements describing what the district hopes its schools will accomplish.

OBJECTIVES—Specific statements of what is to be done, by whom, by when, and how the result will be measured.

POLICIES—General descriptions of the school board's intentions, authority and restrictions relative to all district operations.

JOB DESCRIPTIONS—Identify each job in the school district and specify the major functions and responsibilities for each job.

ORGANIZATION CHART—A pictorial description of all the positions in an organization and their interrelated lines of authority and responsibility.

A Suggested Schedule

Assuming that the board and superintendent plan to complete all of the exercises and that they will work in evening sessions of three to three and one-half hours each, the following schedule of six meetings is suggested to make best use of time. A seventh meeting may be needed, depending upon how much work can be completed between meetings.

At Regular Board Meeting:

1. Approve the program.
2. Appoint a moderator.
3. Distribute the Workbooks (and Handbooks if not done previously).
4. Establish a meeting schedule.

Individual Preparation for First Meeting:

1. Study the Handbook, *Planned Appraisal of the Superintendent.*
2. Read pages 4 to 8 of the Workbook.
3. Turn to Exercise One on page 9. Read the opening paragraphs and do Steps 1 and 2 only.
4. Turn to Exercise Two on page 12. Read the opening paragraphs and do Steps 1 and 2 of Part 1.

First Meeting:

1. Complete Exercise One (Steps 3 to 9).
2. Do all of Exercise Two.

Individual Preparation for Second Meeting:

1. The superintendent may need to gather materials identified in Exercise One (Form 2) before the second session.
2. Turn to Exercise Three on page 16 and read the opening paragraphs. Do Steps 1 to 5.
3. Turn to page 19 and study the Ten Steps Toward Performance Appraisal of the Superintendent.
4. Turn to page 20 and read the opening paragraphs to Exercise Four. The moderator should carefully study the steps in this Exercise.

Second Meeting:

1. Do Steps 6 to 12 of Exercise Three.
2. Do all of Exercise Four. If the superintendent is to determine the specific management tasks, he can be asked to present them at the next meeting. If the board and superintendent jointly develop the tasks, an additional two hours or so will be required to complete Steps 4 and 5. In either case, be sure that Parts A and B of Form 9 are completed before the next meeting.

Individual Preparation for Third Meeting:

1. Turn to Exercise Five on page 23. Read the opening paragraphs and do Steps 1 to 5.
2. Turn to Exercise Six on page 26. Read the opening paragraphs and do Steps 1 to 3.
3. If so assigned, the superintendent should complete Step 4 of Exercise Four.

Third Meeting:

1. Unless previously done, complete Steps 4 and 5 of Exercise Four.
2. Complete Exercise Five, Steps 6 to 9.
3. Discuss Exercise Six. Review Steps 1 to 3.
4. Do Steps 4 to 6 of Exercise Six as a group or assign Step 4 to the superintendent and complete the exercise later.

Individual Preparation for Fourth Meeting:

1. Read all of Exercise Seven beginning on page 29.
2. Turn to Exercise Eight on page 30. Read the opening paragraphs and do Steps 1 and 2.

Fourth Meeting:

1. Complete Steps 4 to 6 in Exercise Six if you haven't already.
2. Do Exercise Seven. If this exercise is completed by assigning the superintendent to

prepare a job description, Steps 5 and 6 should be deferred to the next meeting.

3. If time permits, review Steps 1 and 2 of Exercise Eight and complete Steps 3 to 7.

Individual Preparation for Fifth Meeting:

1. Read all of Exercise Nine, reviewing Parts A, B and C of Form 10.
2. Read all of Exercise Ten.

Fifth Meeting:

1. Review and approve a job description for the superintendent from Exercise Seven.
2. If you have not done so, complete Exercise Eight.
3. Do Exercise Nine.
4. Do Exercise Ten, Steps 1 to 4. If the superintendent is going to draw up objectives, the assignment should be made now. If the board is to take part in writing objectives, such work can begin now if time permits. It may be necessary to schedule an additional meeting for the board to work on objectives. In any case, Steps 4 to 9 must be completed prior to the final meeting.

Individual Preparation for Sixth Meeting:

1. Read "Where Do We Go From Here?" on page 39.
2. Objectives should be written by the superintendent (or the board) prior to the final meeting.

Sixth Meeting:

1. Discuss and reach agreement on each objective prepared for Exercise Ten.
2. Do Steps 10 to 12 of Exercise Ten.
3. Review and discuss the concluding section, "Where Do We Go From Here?" Develop procedures and set tentative dates for evaluation and performance review.

NEXT MEETING: PERFORMANCE REVIEW

Suggestions for Homework

Regardless of whether your board elects to follow the suggested schedule above or some other more suitable schedule, a great deal of meeting time can be saved by assigning homework. Many of the exercises include steps to be completed by individuals working alone. These steps are as follows:

1) Read the *Planned Appraisal* handbook.

2) Read all the introductory material in this workbook, pages 4 to 8.

3) Exercise One—Read the opening paragraphs and do Steps 1 and 2.

4) Exercise Two—Read the opening paragraphs and do Steps 1 and 2 of Part 1.

5) Exercise Three—Read the opening paragraphs and do Steps 1 to 5.

6) Study the Ten Steps Toward Performance Appraisal of the Superintendent on page 19.

7) Exercise Four—No homework feasible.

8) Exercise Five—*Only after Exercise Four is completed,* read opening paragraphs and do Steps 1 to 5.

9) Exercise Six—*Only after Exercise Five is completed,* read opening paragraphs and do Steps 1 to 3.

10) Exercise Seven—No homework feasible.

11) Exercise Eight—Read opening paragraphs and do Steps 1 and 2.

12) Exercise Nine—Read opening paragraphs.

13) Exercise Ten—Read all, including the steps.

14) Where Do We Go From Here?—Read all.

EXERCISE ONE—Determining the Need for Superintendent Appraisal

The first step in developing an appraisal system is to determine whether there is a need for such a system in the first place. The need for an appraisal system is related to the school board's perception of what the school district should be doing and what is expected from the superintendent. This exercise will help the board decide why it wants to appraise and determine whether there is a need for other information, training, or consultation before beginning the appraisal process. (See *Planned Appraisal* handbook, pages 46 and 47.)

It is recommended that all board members and the superintendent take part in this exercise. Individuals need not be identified in the group response.

STEPS

___ 1) Turn to Table A on page 6 and become familiar with the Working Definitions. These terms will be used in Exercise One and throughout the book. It is essential that everyone apply the same meanings to these terms.

___ 2) Remove Form 1, "How Does Our District Operate?" from the pocket. Each individual should work alone in answering each question. No discussion at this point. Check *yes*, *no*, or *don't know*. Use the working definitions in Table A as the basis for your response.

___ 3) One member of the group should be assigned to quickly tabulate the responses to each question. (For example: 5 *yes*, 1 *no*, 2 *don't know.)* The results should be read to the entire group and each person should record the figures in the "group response" columns.

___ 4) Turn to page 10. The moderator should read aloud the first set of *Implications* (Questions 1 to 5). Then the moderator should lead a discussion of the group results based on these implications. *Don't know* answers in the group response column reflect a lack of information and will require special consideration.

___ 5) Repeat the above procedure for each of the remaining sets of *Implications* (Question 6. . .Questions 7 to 11. . .Questions 12 to 15). That is, the moderator should read the *Implications* and lead a discussion for one set of questions at a time.

___ 6) Board and superintendent—as a group—should complete the *summary and needs* column based on group discussion of the implications related to each group of questions. Note that the questions are grouped for ease in discussion.

___ 7) Board and superintendent should agree on a list of the things they need to do before developing an appraisal system. For example, do you need an organization chart, job descriptions, policy statements, etc.? Use Form 2 from the pocket to compile this list.

___ 8) Develop a timetable and assign responsibilities for obtaining the necessary materials that are lacking and record this information on Form 2.

___ 9) Be certain that your school board has reached a clear decision regarding each of the following:

- a) The kind of board you presently are and the kind of board you want to become.
- b) Whether you want a manager type superintendent or a custodial type.
- c) The basic responsibilities of the superintendent. A comprehensive list is essential for subsequent exercises.
- d) Why the board wants to appraise the superintendent.
- e) That all board members and the superintendent are committed to developing an appraisal process.
- f) That Form 2 is complete and adequate.

___10) Proceed to Exercise Two.

IMPLICATIONS
For Exercise One

Questions 1 to 5

All participants in managing a school district should understand how the district operates and be able to identify the people responsible for carrying out the basic functions of the district. If your district has a written policy manual—including an organization chart, job descriptions for administrative personnel, and district goals—everyone should be able to answer *yes* to the first five questions. If someone didn't, it might indicate that these materials aren't being used properly or are in need of revision. These problems should be discussed and projects considered to meet these needs, but should not prevent you from continuing to develop an appraisal system.

All districts should have written goals (in the Program Plan required by State Board of Education Document Number One). These can be used to form a basis for determining what you expect from the district. If any board members answered *no* to question 3, provide them with the district's Program Plan and discuss whether its goals are still relevant.

If you don't have written policies and job descriptions, projects should be started to develop them. Minimum requirements for proceeding further include a basic list of responsibilities for all administrators, district goals, and a simple organization chart. This material should be sufficient to answer a qualified *yes* to questions 1 and 2 and to consider why you need to appraise. Although the superintendent's job description will be considered as a later exercise, a current listing of the superintendent's responsibilities should be undertaken before going further if not presently available. However, Exercise One may be completed without this material.

Question 6

How the school board operates—or how it wants to operate—will determine the nature of its appraisal process. Some boards may be comfortable with a custodial role. If so, they will give wide latitude to the superintendent, even including basic policy decisions. The board's appraisal role will be minimal, however, because the basis for judging will be lacking. The board can hold the superintendent responsible for results only if it has complete descriptions of all programs, goals, and expected results.

In reviewing programs, goals, and expected results, the board will most certainly discuss the merits of these policies and automatically become a policy making board.

A strong, dominant superintendent is required by a custodial board. But if the board appraises, it cannot remain a custodial board for long. Appraisal and custodianship are incompatible. If your board wishes to remain custodial, it need only to consider Exercises Three, Seven, Eight, and Nine in this workbook in order to monitor what is happening in the district.

If you are a lay-administrative board and if the board is deciding not only policy, but also how that policy is carried out (such as evaluating staff below the superintendent and making all management decisions), performance appraisal of the superintendent is unnecessary. With a lay-administrative board, authority for managing the district lies not with the superintendent, but with the board. The superintendent's results cannot be evaluated if the board makes the decisions. Such boards can only expect the superintendent to function in a custodial capacity rather than as a manager. The board can only evaluate administrative activities or personal characteristics and a simple checklist should suffice (as provided in Exercises Three and Eight).

Hopefully, most boards will perceive themselves as policy makers, because as lay men and women they need the educational manager to determine how the district is to reach the objectives established by the community and the state (see pages 16 to 20 in the *Planned Appraisal* handbook).

If any board member indicates either a *custodial* or *lay-administrative* board rather than a *policy-making* board, these differences need open and honest discussion. If custodial boards want to become policy makers, they can do so by continuing with the appraisal exercises. But they need the support of the entire board and the superintendent and the desire to continue (*yes* response to question 15). Policy making boards need an appraisal system and should complete the entire process.

Questions 7 to 11

A manager is a decision maker, and only a lay-administrative board can function without a manager. If your board answered *no* to any of questions 8, 9, 10, or 11, you need a manager and cannot afford a custodial type administrator. But becoming a decision maker carries with it the need to evaluate the effectiveness of decisions. It also means that the board and superintendent must frankly discuss the effectiveness of the school board's policies (do they give adequate directions?) and how well the superintendent carries them out. This is what the appraisal system is all about—dialogue between board and superintendent regarding *the effectiveness of the board's policies*

and the superintendent's implementation.

If the board expects a manager and indicated *no* to any of questions 8 through 11, you might also discuss these questions:

1) Can we expect the superintendent to be a manager if we don't have explicit policy statements, job descriptions, goals and/or objectives that define what the board wants from its schools and its employees?

2) Can we hold the superintendent responsible for results if he doesn't know what we expect?

3) Do we expect the superintendent to perform only minimal responsibilities? (See *Planned Appraisal*, page 66.) If not, we need to set performance priorities and goals that require our superintendent to grow and our schools to improve.

If the board feels the answer to these three questions is basically *no*, then you are ready to begin developing a performance appraisal system.

Questions 12 to 15

If your board expects the superintendent to provide leadership—to meet all of its expectations—then you need to know what those expectations are, and whether they are accomplished. This indicates a further need for appraisal. Question 12 also acts as a checkup on previous questions. Lay-administrative boards that employ custodial-type administrators rather than managers eliminate the need for leadership. Leadership can only be exerted when the necessary authority is delegated. *There can be no leadership without authority.*

If your board answered *yes* to questions 13 and 14, it indicates that you have an evaluation system in operation. If so, and you continue with these exercises, comparisons can be made and you can decide whether to modify your system. If your board answered *no* to either of these questions, your board will benefit from subsequent exercises.

If all the board has is a job description for the superintendent, you probably should have answered *no* to these questions—especially if the job description is not performance based and up-to-date. A job description by itself usually is not an adequate basis for evaluation. It may state broad requirements which the superintendent must meet, but these statements are not specific enough to determine what is expected or what the board can view as accomplishment.

If question 15 was not answered *yes*, it should be reconsidered in light of the above discussion. Complete commitment is essential. Each board member should be able to honestly answer *yes* or state why not. Poll the group. Give each person a chance to speak.

EXERCISE TWO—What Should be Evaluated?

All things can be evaluated. Some things lend themselves to objective evaluation, such as by computer analysis. Evaluation implies the use of judgment, however, and judgment is a subjective tool. Even where a computer is used to analyze factual data, such as income, costs, and profits, someone must apply personal judgment to that data and assume responsibility for decisions.

The important question in evaluation is not whether subjectivity has been removed. Rather, there are two important questions:

1) Can we control biases so that they do not unduly distort the outcome?

2) Can we evaluate things which are important and de-emphasize things which are not so important?

Both the school board and the superintendent must understand what the board considers important in evaluating the superintendent. For example, is effective public speaking more important than developing an inservice training program for teachers?

This exercise will enable the school board to determine:

1) What factors the board as a whole considers important in measuring a superintendent's effectiveness.

2) Whether evaluation should be based on performance (results) or behavior (methods used) or some other criteria.

This exercise consists of two parts.

In the first part, the board will attempt to reach agreement on what all the members consider important for appraisal.

When agreement is reached on a list of criteria for appraisal, the board will move on to part two. Here the board will decide whether to base superintendent appraisal on his performance of assigned responsibilities or on his traits and behavior. This is a decision that must be made carefully. Treating the distinction lightly results in misunderstandings, for the board mixes apples with oranges when it lumps personal appearance in the same category as fiscal management.

Part 1—Selecting Criteria

STEPS

__1) Table B provides a list of possible evaluation criteria. Although it is not complete, the list includes criteria often found on administrator evaluation forms. Feel free to add, delete, or group items as you see fit. Look them over carefully before beginning.

__2) Without discussion, each board member should select the 5 or 10 criteria that he/she considers most essential in assessing a superintendent's effectiveness. List them in Column A of Form 3.

__3) After everyone has completed a list in Column A, the entire board should discuss the criteria and select the 10 best. These 10 best criteria should be arrived at by group consensus and then recorded in Column B of Form 3. (*Note to Moderator:* Each board member should be required to enumerate and defend his individual selections. Also, the final 10 should not be developed by majority vote except as a last resort. It is more important to negotiate and compromise and come up with a list that everyone can support or live with. Hopefully, the discussion will bring out the different viewpoints of all board members. The moderator should insist that these different viewpoints be fully discussed.)

__4) Working individually (no discussion) look at each of the 10 criteria listed by the group in Column B. Consider each in light of these questions:

- Is it related to performance?
- Is it a personal characteristic?
- Is it a skill or knowledge that you expect the superintendent to possess as a minimum qualification for the job?

__5) Still working individually, look again at the criteria listed in Column B. Ask yourself: *What would I look for in evaluating the superintendent on this factor? What evidence*

would I use to defend a high rating or a low rating? Circle those criteria for which you believe you have an adequate answer.

__6) Circle your criteria in Column A which the group did not include in Column B.

__7) You should now have a basic understanding of what you personally feel are important evaluative criteria. You also have a comparison of what you feel in relation to the entire board. Consider why and how your criteria differ from the board as a whole. Is it a significant difference? Go now to Part 2, which should help clarify the differences.

Table B—Criteria for Superintendent Appraisal

Ability under pressure
Attitude
Board operations
Board-superintendent relations
Business affairs
Community relations
Contract negotiations
Courage
Curriculum and instruction
Decision making
Delegation of authority
Educational philosophy
Extra curricular programs
Fiscal management
Health
Idealism and enthusiasm
Judgment and perception
Knowledge of finance/budgeting
Knowledge of curriculum
Leadership and responsibility
Legislation
Moral character
Negotiations skill
Oral and written expression
Organization and management
Organizational ability
Personal appearance
Personal efficiency
Personnel management
Planning
Plant management
Policy development
Professional improvement
Program evaluation
Progressiveness
Purchasing
Recordkeeping
Research
Sensitivity
Staff evaluation
Student relationships
Student services
Support services
Transportation

Part 2—Categorizing Criteria

STEPS

The first four steps below should be completed by each board member working individually:

__1) Table C lists the same criteria used in Part 1, except that they have been divided into two categories—1) traits and skills and 2) management responsibilities.

__2) Using Form 4, categorize your individual responses from Column A of Form 3 as either *traits and skills* or *management responsibilities.* If you have grouped or combined criteria, you may find it necessary to list an item in both categories.

__3) Now do the same for the group responses from Column B of Form 3: categorize them under "Group Responses" in Form 4.

__4) Compare your criteria in the left hand columns with the total board's criteria in the

right hand columns. Were differences noted in Form 3 due to a greater emphasis on one category or the other?

___5) The moderator should now lead a group discussion of the differences identified by individuals in Step 4 above. Do the group responses favor one category over the other? Why? Do any individual's responses vary widely from the group's emphasis?

___6) The moderator should read aloud the *Implications* on page 15.

___7) The group should now re-examine the criteria listed under "Group Responses" on Form 4. Discuss these criteria and the *Implications* and answer the question, "What do we want to evaluate?"

___8) Following this discussion, determine whether your board wants to evaluate *results based on performance in carrying out responsibilities* or *characteristics and traits* as its evaluative criteria.

___9) When consensus is reached in Step 8 above, proceed to Exercise Three.

Table C—Two Types of Criteria

TRAITS AND SKILLS	MANAGEMENT RESPONSIBILITIES
Ability under pressure	Board operations
Attitude	Board-superintendent relations
Courage	Business affairs
Decision making	Community relations
Delegation of authority	Contract negotiations
Educational philosophy	Curriculum and instruction
Health	Extra curricular programs
Idealism and enthusiasm	Fiscal management
Judgment and perception	Legislation
Knowledge of curriculum	Organization and management
Knowledge of finance/budgeting	Personnel management
Leadership and responsibility	Planning
Moral character	Plant management
Negotiations skill	Policy development
Oral and written expression	Program evaluation
Organizational ability	Purchasing
Personal appearance	Recordkeeping
Personal efficiency	Research
Professional improvement	Staff evaluation
Progressiveness	Student services
Sensitivity	Support services
Student relationships	Transportation

TO THE EDUCATIONAL RESOURCES
INFORMATION CENTER (ERIC) AND

IMPLICATIONS
For Exercise Two

(Read pages 29 to 31 and page 42 in the *Planned Appraisal* handbook.)

If you consider traits or skills as the most important criteria for superintendent evaluation, you will have difficulty in applying a performance appraisal system.

Performance appraisal means that you evaluate by comparing *job performance* with *job specifications*. That is, you determine what the job holder is supposed to accomplish and then—at some specified time in the future—you determine how well the job was accomplished.

This means that performance appraisal systems focus on the responsibilities of the job rather than on traits or skills of the person holding that job.

Even so, many of the traits and skills listed in Table C are certainly essential for a successful superintendent. They may even be required by the board when selecting a superintendent. Without certain traits and skills, it may be impossible for a person to perform all of the expected job functions. For example, if the superintendent is expected to perform the function of contract negotiations, he must have negotiations skill; a lack of skill may limit his ability to perform according to the board's expectations. But you can evaluate this more thoroughly if you first decide what you want to accomplish in contract negotiations and then judge whether it gets done. Evaluating a skill is difficult. It is too easy to look at the end result—such as a bad contract or a strike—and assume that a lack of skill was the cause when there can be many other factors involved.

When looking at skills or characteristics, it is often *after* the fact (when something went wrong). One then assumes that the problem was caused by a lack of some skill or personality trait. But that is typically pure guesswork. The board engages in fault finding but doesn't really know what caused the catastrophe. (It might have been caused by a weak policy of the school board—or a lack of a policy.)

In performance appraisal the board starts with a problem area, discusses what needs to be done, and sets an objective for doing it. At the conclusion, the board assesses whether it was done, why or why not, and to what degree it was accomplished. The board knows what it is looking for *before* it starts to evaluate.

The best way to begin such a system is to decide what responsibilities the superintendent is to have, break each of them down into more specific subunits, and then determine what the board wants to happen or what it will look for in each of these areas. (This process will be covered in Exercise Four.)

Individual characteristics, skills, and behaviors definitely have their place in appraisal. (These will be covered in Exercise Eight.) They are most important in selecting an individual for the job when the board must look for background, skills, training, and personal characteristics required in the district. It is hard to judge past performance in another district.

The board can also use these personal factors to set standards for retraining. For example, if the board is first entering teacher negotiations and the superintendent will become the board's spokesman, then one of his objectives might be to attend training sessions to acquire needed skills.

The board also may want the superintendent to improve upon characteristics which cause special concern. For example, if the superintendent's handwriting is so atrocious that board members can't read his notes, the board can certainly indicate in an appraisal system that it expects to have memos produced clearly.

However, the board should normally see such matters as routine. Basic skills and human traits should simply be expected and not require evaluation. These can be called *minimal expectations* (see the handbook, pages 42 and 66). The board's most essential job is to appraise what the superintendent does, not what he is. Evaluating only the routine will make evaluation routine. With any given person, minimal expectations need to be evaluated only once, because the results will probably be the same year after year (except in those items which need improving). This appraisal of the superintendent as an individual has its place, but it is not performance based. It can't show whether the job is being done—it is based on what the superintendent brings to the job rather than what results he gets.

The most meaningful and beneficial evaluation will contain some way to appraise expected results in specified areas of responsibility.

In summary, each member of the board should now know:

1) Your own initial ideas about evaluation criteria.

2) Your total board's attitude toward evaluation criteria.

3) The distinctions between evaluating traits and skills as opposed to evaluating performance.

4) The most productive ways to use evaluation of traits, characteristics, and skills.

5) That performance appraisal emphasizing results must generally focus on specific job functions.

6) In performance appraisal, the board should focus on traits, behaviors, and skills only when they become problems or need improvement.

EXERCISE THREE—Evaluating the Board-Superintendent Relationship

Appraisal can be effective only in an atmosphere of openness, trust, and understanding. The emphasis of appraisal must always be to strengthen and improve—to strengthen the relationship between the evaluator and those being evaluated in the hope of improving performance.

Appraisal also must be a joint venture, cooperative rather than adversary. One of the greatest benefits of superintendent appraisal is that it requires dialogue—open discussion of the existing relationship and what you want to accomplish together. The most common mistake that causes a breakdown in board-superintendent relationships is procrastination, putting off such dialogue or not doing it at all. Appraisal which occurs only because of a problem or controversy becomes antagonistic; the board begins searching for reasons to justify its negative feelings.

In honest, open appraisal, the board members must first look at themselves and their relationships with one another and with the superintendent. They must assess both strengths and weaknesses as a prelude to developing the appraisal process. The board must appraise itself as well as its superintendent, because no superintendent can be held truly accountable for performance by a board that does not operate effectively and does not conform to its own policies.

This exercise is designed to reveal strengths and weaknesses in the board, the superintendent, and their relationship with each other. Once identified, the strengths can be built upon and the weaknesses eliminated.

A few boards and superintendents may find that this exercise fulfills their evaluation needs. They may not want to go further, because the exercise does provide opportunities for a subjective kind of joint appraisal. This applies particularly to custodial boards that rely very heavily on the superintendent for direction, as well as to lay-administrative boards that view their superintendents as custodial-type administrators.

However, this exercise will fulfill a somewhat different need for the board that wants to function in a policy making capacity and to treat its superintendent as a manager. For these boards, this exercise gets the performance appraisal system started by (a) clearing the air of any misgivings or anxieties and (b) identifying aspects of board and/or superintendent performance which need to be improved immediately.

Satisfactory performance appraisal is not likely unless the board and superintendent have an open, honest relationship with one another. This exercise represents a tool for achieving such a relationship—but it is up to the board and superintendent to make it work.

STEPS

— 1) Each board member and the superintendent should fill out Form 5, the Superintendent Image Questionnaire. This should be done individually and without discussion.

— 2) Without discussion and in the same manner as above, each board member and the superintendent should complete Form 6, the Board of Education Evaluation Questionnaire.

— 3) Use Form 7, the Individual Tally Sheet, to summarize your responses. Under *superintendent strengths,* list all of those behaviors and traits which you scroed a 3 or 4 in the Superintendent's Image Questionnaire. For example, if you gave a 3 (usually) or 4 (always) to "expression," write the word "expression" in the *superintendent strengths* column.

Under *superintendent weaknesses,* list all those behaviors or traits which you scored a 1 or 2 on the superintendent questionnaire.

— 4) Under *board strengths,* list all of the programs and behaviors which you scored 3 or 4 on the Board of Education Evaluation Questionnaire. For example, if you scored

"information" at 3 or 4, write the word "information" in the *board strengths* column.

Under *board weaknesses*, list all of those items which you gave a 1 or 2 on the board questionnaire.

___ 5) The moderator should then distribute blank sheets of paper to each person. Each person should record the items from all four columns of the Tally Sheet and return the sheet to the moderator (or a designee) without individual identification.

Note: Some time can be saved if all participants are willing to turn in their Tally Sheets (Form 7) long enough for the moderator to tabulate results. The Tally Sheet can then be returned.

___ 6) Using the sheets turned in by all participants, the moderator (or designee) should compile a summary of results.

Note to moderator: You may want to use a blank sheet to do a rough summary. The final outcomes should then be recorded on Form 8, the Group Tally Sheet—but be sure to follow the instructions carefully on this sheet.

___ 7) The group tally should then be reported to all participants, who should record the results on the Group Tally Sheet (Form 8). This tally sheet enables you to tell at a glance the number of strengths, weaknesses, and areas of disagreement.

___ 8) Turn now to *Implications* on page 18. The moderator should read it aloud.

___ 9) Now look again at the Group Tally Sheet and note only the items listed under *superintendent strengths*. The basic purpose of appraisal is to identify problems and plan for their improvement. However, everyone needs encouragement, and the board would be remiss if it failed to note those areas where the superintendent's performance merits a unanimous vote of confidence. This would be a time for patting the superintendent on the back, even for those items where some members of the board wish to express minor qualifications or concerns.

___10) Items identified as strengths on the board's portion of the Tally Sheet also should be noted and discussed briefly.

___11) All items identified as either weaknesses or as areas of disagreement should be discussed at length by the total group. Try to ascertain why the group feels as it does about each item. You may wish to allow time between completing the group tally and the discussion to allow each individual to carefully consider the implications of these areas of disagreement.

> **Optional:** If this exercise creates consternation or apprehension, particularly if there is a great deal of consternation over a seemingly large number of weaknesses, it might be helpful to have an outside consultant or facilitator consider these questions with the group.

___12) If your board has decided to evaluate the superintendent on the basis of performance, turn to Table D on page 19 and study the "Ten Steps Toward Performance Appraisal of the Superintendent." This is an outline of the performance appraisal process and provides an overview of what you will be doing throughout the remainder of this workbook. Then go to Exercise Four.

If your board does *not* intend to evaluate performance, skip forward to Exercise Eight.

IMPLICATIONS
For Exercise Three

The two questionnaires get to the very heart of what characteristics, behaviors, and personality traits boards usually expect from superintendents (and vice versa). If there are a significant number of weaknesses of the superintendent (perhaps four or five), it indicates that board members have significant concerns regarding his behavior in dealing with them. These questions are directed toward the superintendent's relationship with the board rather than his skills or competence as a manager. The weaknesses identified should offer a basis for discussion and improvement. It might be useful to get a commitment for improvement—perhaps by setting some objectives for next year. Hopefully, the recognition that weaknesses exist will produce the discussion necessary for change and for a healthy, open relationship.

A significant number of responses on either questionnaire recorded as "areas of disagreement" suggest that the board does not have consensus on the superintendent's expected behavior and/or its own performance. This may indicate differing philosophies among board members or a lack of information or experience. These are the real problem areas for the board and need some honest self-assessment and a plan for action to improve. If they are not dealt with openly here, they are likely to become serious problems in the future.

The board evaluation questionnaire mentions some items the board should possess (e.g., policies) as well as some things it should do (behavior). If there are weaknesses in things a board should have—policies, evaluations, agenda, etc.—plans should be made to get them. Perhaps many of these can be obtained through setting objectives for the superintendent. If group responses indicate weaknesses in board *behavior*, these weaknesses should be confronted openly by the total board in the hope that such behavior will improve, or at least be understood. Any weakness or area of disagreement in board behavior will usually weaken relationships among board members and destroy their effectiveness in dealing with issues objectively. Serious consideration must be given to these potentially damaging concerns.

In summary:

1) The board has undertaken both a self-assessment and an analysis of the board-superintendent relationship in your district. In addition, you may have identified strengths and weaknesses in the relationships among board members.

2) The board should have confronted the problem areas and discussed ways to improve.

3) Individuals should also understand how they assess the total board and the superintendent in relationship to their fellow members. If one person finds that his or her assessment differs substantially from the total group's assessment, it indicates that a more complete self-analysis should be considered to determine why.

Table D—Ten Steps Toward Performance Appraisal of the Superintendent

STEP ONE: Break down school district operations into *functions* or *management responsibility* areas. For example: Finance, personnel, educational program, etc. (Exercises Two and Four)

STEP TWO: Break down each district function into the *tasks* which must be carried out within that area. For example, in the area of "personnel," a task might be "recruitment" or "compensation program." (Exercise Four)

STEP THREE: For each task, clarify the respective *roles* of the school board, superintendent, and other staff members. Using key action words to analyze roles, for example, it might be determined that the superintendent's role in "compensation programs" is to "direct" or "develop" or "implement," etc. (Exercise Five)

STEP FOUR: Identify one or more *indicators of effectiveness* for each task which can be used to determine whether the task is being satisfactorily carried out. For example, indicators of effectiveness for the "compensation program" might be "parity with similar districts" or "attract high quality employees" or "reward performance." (Exercise Six)

STEP FIVE: Prepare a *job description* for the superintendent (or evaluate the existing job description) by combining functions and tasks with roles specified in Step Three. For example: "Implement board policies in directing programs for recruiting, training, compensating, and evaluating all district employees." (Exercise Seven)

STEP SIX: Within each district function, categorize tasks as minimal, reasonable, or special to determine which tasks can be evaluated by *exception* and which by *objectives*. (Exercise Nine)

STEP SEVEN: Determine which tasks call for written objectives either because they are *minimal* expectations which represent problems or reasonable expectations deemed important or *special* expectations which can be started but not completed. (Exercise Nine)

STEP EIGHT: Combine the district function, the specific task, the role of the superintendent, the indicator of effectiveness for the task, and the reasonable expectations of the board in writing an objective. (Exercise Ten)

STEP NINE: Agree upon an expected outcome for each objective—the evidence upon which the superintendent's evaluation will be based. What will the board and superintendent look for to determine when the objective has been met? In the following example, the expected outcome is italicized:

> "Update school board policies in accordance with recent civil rights legislation, as evidenced by *a written analysis of each personnel policy, accompanied by proposed policy changes, submitted for board review and approval by July 1, 1980.*"

STEP TEN: Rank objectives in order of priority. (Exercise Ten)

EXERCISE FOUR—Management Responsibilities in Your District

The first step in performance appraisal is to identify your superintendent's management responsibilities. This should be done thoughtfully, because these responsibilities will form the basis for your appraisal system. This activity need not be time consuming, however, because you have already done some of the work in Exercise Two. You may also use existing job descriptions or other material acquired in Exercise One.

If yours is a policy-making school board, the superintendent is the chief executive officer of the board. This means that he is responsible to the board for all of the district's functions. This also means that an analysis of the superintendent's responsibilities represents an analysis of all school district functions, operations, and programs. The specific role of the superintendent in each responsibility area will be considered in a later exercise. The purpose of this exercise is to help the board generate a list of general *school district functions* and to subdivide them into specific *management tasks*. Taken together, these broad functions and specific tasks represent the superintendent's source of *management responsibilities*.

It is important for the board and superintendent to develop an objective and comprehensive answer to the question: "What are the major functions of this school district?" There are probably any number of ways that school district functions can be categorized. One example appears in Table E on page 21. This breakdown of functions may or may not be appropriate for your school district. The first step is to find out.

STEPS

The board and superintendent should work as a group in going through the following steps.

___1) Go back to Form 4 and examine the group responses, especially those items that your board placed in the "management responsibilities" column. Compare responsibilities listed here by your board with the breakdown suggested in Table E. Are there major differences? Are there areas left uncovered by your board's list or the list in Table E?

___2) Examine other sources of information to help you identify appropriate management responsibilities for your district. These would include the major headings in your school board policy manual, the superintendent's job description, and appraisal systems from other school districts.

___3) It may help to compile a master list of all the possible functions that your board and superintendent can think of. However, you must then refine the list through careful analysis and group discussion. The aim is to reach agreement on a list of management responsibilities that avoids excessive duplication and is sufficiently broad to include all district functions. When the board and superintendent agree that the list represents the school district's functions, record the list in Column A of Form 9. (Note: *Leave the maximum amount of space possible between each function you list in Column A.* Use all pages of the Form. You will need the space later on to complete the remaining columns.)

___4) The next step is to develop specific tasks within each of the functions identified for your district and list them in Column B of Form 9. These tasks need not include everything. *However, they must include any task on which you expect to appraise the superintendent's performance.* Keep in mind that you can add, delete, or modify tasks in later exercises. Note that the sample list of district functions in Table E includes specific tasks. Your board and superintendent may ultimately decide that this example is appropriate for your district. However, it is advisable to analyze your own needs to be certain that all items for appraisal are included. There are a number of different ways to approach this:

a) Ask the superintendent to determine the specific management tasks for each district function and to present them to the board for discussion and approval.

Table E—Management Responsibilities

Management responsibilities can probably be categorized in many different ways. Here they are broken down into eight school district functions. Under each function is listed a series of management tasks.

SCHOOL BOARD OPERATIONS
1. District goal development
2. Policy development
3. Procedures for organization, decision making, and meetings
4. Employment and evaluation of superintendent.
5. Monitoring school district performance

DISTRICT MANAGEMENT
1. Assessment of district needs and development of goals and objectives
2. Development of management and leadership skills
3. Organization of staff and assignment of responsibilities
4. Appraisal of staff performance
5. Evaluation of programs
6. Communication with school board

EDUCATIONAL PROGRAMS
1. Compliance with legal requirements
2. Community needs and aspirations
3. Research and development
4. Curriculum planning
5. Program standards and evaluation
6. Grade-level articulation and departmental coordination
7. Basic skills development
8. Special programs for vocational, handicapped, gifted, enrichment, etc.
9. Extra-curricular programs
10. Grading and reporting
11. Alternative programs

BUDGET/FINANCE
1. Development of revenue sources
2. Budget development based on program priorities
3. Accounting and control procedures
4. Purchasing
5. Auditing
6. Long-range forecasting

PERSONNEL MANAGEMENT
1. Written employment policies and procedures
2. Job descriptions
3. Recruitment and selection of employees
4. Training and development of staff
5. Compensation
6. Evaluation
7. Collective bargaining
8. Contract administration

PUPIL SERVICES
1. Guidance and counseling
2. Psychological, social, and health services
3. Records
4. Discipline

SUPPORT OPERATIONS
1. Facilities planning and development
2. Plant operations
3. Buildings and grounds maintenance
4. Transportation
5. Food services
6. Office management

COMMUNICATIONS/PUBLIC RELATIONS
1. Community attitudes and opinions
2. Management information
3. Staff communications
4. Public information
5. Citizen involvement in decisions
6. Community services
7. Staff training
8. Special projects
9. Program evaluation

If you select this approach, the superintendent may want to get input from the board on each item before proceeding.

b) If your list of district functions is similar to Table E, you may simply want to critically analyze the tasks provided there, adding or deleting or modifying as your board sees fit.

c) For the board that wants to be completely thorough in examining the ideas of its own members, the best alternative may be "brainstorming." Appoint a recorder to take down the ideas and spend 5 to 15 minutes on each district function. Each board member throws out ideas as rapidly as possible. The aim is quantity rather than quality. There is no discussion at this point, and especially no criticism of ideas. Every board member should be required to contribute. When the board has run out of ideas, the brainstorming stops. Then the board and superintendent go over the list of suggested tasks one by one and reach agreement on the ones that are useful. The moderator should see that blank sheets of paper are available to everyone for this activity.

d) It is possible to combine two or all of these approaches. That is, a list developed through brainstorming may be compared to a list developed by the superintendent or to Table E.

___5) You have now concluded the first two steps in developing a performance appraisal system. (See "Ten Steps Toward Performance Appraisal of the Superintendent," Table D.) To some it may have been a simple task requiring only a compilation of existing information. To others, it perhaps represented the first discussion for the board related to the functions of the district. Note that this exercise need not be complicated or complete for use in appraisal. One or two specific tasks under each function can form a foundation for appraisal, although fewer tasks will offer less flexibility in determining which tasks require appraisal.

The list of district functions should, however, be complete. Anything happening in the district should be appropriately considered in your list. With this information, you will be able to proceed in developing an appraisal system. If your list is incomplete, your appraisal will be incomplete.

___6) Go to Exercise Five, where you will complete Form 9.

EXERCISE FIVE—Role Clarification

As discovered in Exercise Four, the superintendent's responsibilities are derived from the basic functions of the school district and the specific tasks necessary to carry out those functions. In that exercise, your school board agreed on a list of district functions that will provide a basis for Exercise Five. It is time to consider the various management roles played in your district by the board, superintendent, and other administrators. In addition to providing a vital ingredient for superintendent appraisal (his role in each function), this next exercise is the starting point for developing job descriptions for the superintendent and his administrative staff. (You will work on a job description in Exercise Seven.)

Role clarification is a sensitive exercise because it makes us aware of what we expect from others and what others expect from us. It is best done in three parts: (1) the employer working alone; (2) the employee working alone; and (3) negotiations between the employer and employee regarding their respective roles for each particular function. In the board's appraisal of the superintendent, the board as a whole acts as the employer with the superintendent as the employee. The purpose of this exercise is to reach agreement on the respective roles of the board and superintendent in each of your district's key functions.

Table F—Key Action Words

Advise	Implement
Analyze	Initiate
Approve	Interpret
Assist	Monitor
Compile	Organize
Consult	Participate
Control	Prepare
Coordinate	Present
Design	Provide
Determine	Recommend
Direct	Study
Develop	Supervise
Evaluate	Support

STEPS

___1) Turn to pages 56 and 57 in the *Planned Appraisal* handbook. Here you will find a superintendent's job description. Note the italicized words. These are the action verbs that describe what the superintendent is to do. These words are essential in clarifying responsibilities.

___2) Now look at Table F. This is a listing of typical "Key Action Words" that can be used in defining specifically the type of action that is to be taken. There are many other such words that can be used, of course.

___3) Next turn to Table G on page 24. Here is a grid that lists job titles along the top and management functions/tasks down the side. You can see that by inserting Key Action Words into the blank spaces of the grid, you can describe the respective role of each person in carrying out each function or task. The best word to put in each space depends upon such things as: the type of school board you have; the type of superintendent you want; the size of your administrative staff and the job descriptions of individual administrators; the priority that you place on the various management responsibilities. In other words, what is supposed to get done and who is supposed to do it?

___4) The board and superintendent must work together in clarifying their respective roles. To do this, they need not use a grid quite so elaborate as the one in Table G—although this grid can be very helpful in clarifying roles among members of the administrative staff. Rather, Columns C and D of Form 9 will be used in this exercise.

___5) To complete Form 9, each board member and the superintendent should work independently. No group discussion. For each item listed in Columns A and B, select the word or words from the Key Words list (Table F) which best describe the role of the board and those that best describe the role of the superintendent. List these words in Column

C under "Individual choices." (You can use words not included in Table F, but be sure to keep words to a minimum.) When you are finished, you should have identified the role of the board and the role of the superintendent for each of the functions and tasks listed.

___6) When everyone has completed Column C of Form 9, the moderator should lead a discussion. Taking one item at a time, the group should try to reach agreement on the single best word to describe the role of the board and the role of the superintendent for each management function and task. Note that you may not reach agreement on a single best word. However, the group should negotiate until you arrive at a word or words acceptable to everyone—even if everyone does not consider it the best. Record these key word choices in Column D under "Group choices."

___7) When an action word has been agreed upon for each function and task, the group should make another review to be sure that all essential functions are covered. If Form 9 lacks anything important, now is the time to add it and to assign key action words to describe the respective roles of the school board and superintendent.

___8) Now that the various roles of the superintendent have been clarified by the board, it is recommended that he involve his subordinates in a similar exercise to clarify their roles. A form similar to the one in Table G can be used effectively for this, along with a list of key action words.

___9) The moderator should conclude Exercise Five by reading aloud the Implications on page 25.

Table G—Analysis of Management Functions

FUNCTIONS / PEOPLE	School Board	Superintendent	Assistant Superintendent for Instruction	Assistant Superintendent for Personnel	Business Manager	Principal	Other
Board Operations							
Policy Development							
Finance							
Budgeting							
Personnel							
Negotiations							
Curriculum							
Instruction							
Student Services							
Discipline							
Physical Plant							
Transportation							
Community Relations							
Research							
Evaluation							

IMPLICATIONS
For Exercise Five

If the school board functions as a policy maker, then its role in most district functions will be limited to such key action words as "monitor...provide... recommend...approve," etc. On the other hand, if the board describes its role as "initiating...implementing...analyzing...designing," etc., then it is *doing* rather than giving direction. These distinctions are not all clear-cut, of course. In policy development, negotiations, community relations, and board operations, some boards may have "doing" functions, while the superintendent functions as an advisor. If both the board and superintendent recognize these special roles of the board and agree with them, then the responsibilities are clarified.

Remember, however, that where the board is performing a "doing" function, then the superintendent cannot be held responsible for performance or lack of it. If, for instance, the board itself negotiates with teachers and the superintendent only "advises," evaluation of the superintendent by the board is limited to the value of his advice. If the superintendent said that the district could afford only a $100 raise and under the threat of a strike the board gave $500, then the superintendent cannot be held accountable for the financial problems created. But if he advised the board to give $750, he could be held responsible for poor advice.

The most careful consideration should be given to those functions and tasks where the board and superintendent indicate the same or conflicting roles. These are the functions requiring open dialogue in order to reach agreement on who is responsible for what. But don't be stymied by semantics. The word itself isn't as important as the intent or the implications for conflict. Don't avoid disagreement, but on the other hand don't agree to disagree—talk it out until consensus is reached.

The superintendent will find similar patterns if he involves other administrators in similar role clarification exercises. In any organization, there is some overlap in job functions. The important thing is to discover where duplication exists and work out the specific responsibilities of each manager in each of their areas of responsibilities. This exercise may eliminate administrative duplication and increase the efficiency of the organization. In large organizations, role clarification may even reveal some important tasks which are the responsibility of no one in particular.

EXERCISE SIX—Developing Indicators of Effectiveness

Your board has now determined the job functions of the superintendent and clarified his role with respect to each of those functions. In order to evaluate how well the superintendent fulfills these various roles, some standards or measures must be established.

The purpose of Exercise Six is to help the board and superintendent discover criteria which can be used to appraise effectiveness. That is, they will develop *indicators of effectiveness* for each function or task that is to be evaluated.

Any number of different criteria might be attached to a particular task. In determining the criteria that they want to use, the board and superintendent will learn what is important to one another (and to themselves). They also will find themselves further refining functions and tasks into more specific subunits of work.

Where the board is unable to identify an indicator of effectiveness, there is something wrong with the function or task. Possibly it is a function that is not important to the district. More likely, the function is too broad and needs to be broken down into more specific tasks.

The key to selecting an indicator of effectiveness is to ask what the function or task is supposed to accomplish. Then the board can write a brief statement which expresses its intentions and which can be used to determine when the task has been completed or whether it is being satisfactorily carried out.

For example, suppose that the superintendent is responsible for developing and implementing a compensation program for school employees. An indicator of effectiveness for this task might be, "Maintain parity with similar school districts." Or depending upon the school board's goal, the indicator might be, "Attract high quality employees," or "Reward performance."

Be sure to give this exercise adequate attention. In setting performance standards, you are establishing both the tone and direction for the management of your schools.

STEPS

In this exercise, the board and superintendent should agree on at least one indicator of effectiveness for each job function or task.

___1) Go to Table H on page 27 and study the example. Note that for each task there is an action word that describes the superintendent's role. Also, in Column C there is a list of effectiveness indicators. (Disregard Columns D and E; they will be used in Exercise Nine.)

___2) You will need both Forms 9 and 10. From Form 9, transfer the list of Management Responsibilities (both functions and tasks) to Column A of Form 10. List the management tasks beneath the district function as shown in the example, Table H. *Be sure to space the functions and tasks throughout the eight pages of the form.* This will leave plenty of room to list indicators of effectiveness for each task in Column C.

___3) Also, transfer to Column B of Form 10 the key action word for each task that the group agreed on for the superintendent. These key words are already recorded under "superintendent's role" in Column D of Form 9.

___4) Working as a group, take one item in Column A at a time and develop indicators of effectiveness. List them in Column C. This may require extensive discussion. The board must reach a group decision on each item that goes in this column. There are a number of ways to generate ideas and promote discussion:

a) Ask the superintendent to suggest several indicators of effectiveness for each task and use these as a starting point for discussion. *With advance notice, these can be prepared beforehand.* The superintendent may want to involve other administrators in their areas of responsibility.

b) Use the brainstorming process suggested in Exercise Four, Step 4 (page 22).

c) Divide into two or three groups and assign each group with a number of tasks to

study. Then the entire board can discuss the ideas developed by the small groups and select the best indicators

___5) Record the agreed-upon indicators in Column C. Do it in the way shown in Table H. The board may want to delete certain functions or tasks for which no effectiveness indicators can be identified. The board also may, in the process of discussion, think of tasks or functions which need to be added. Do not hesitate to change the assigned roles if discussion produces a more accurate key action word. The final list of functions/tasks, key action words, and effectiveness indicators represents the yardstick by which the board will appraise the superintendent's performance. Has anything been left out?

___6) The moderator should read aloud the Implications on page 28. Then you can proceed to Exercise Seven.

Table H—Sample Analysis of Indicators of Effectiveness and School Board Expectations

(A) Management Responsibilities (Functions and Tasks)	(B) Key Word—Superintendent's Role	(C) Indicators of Effectiveness	(D) Board Expectations			(E)
			Minimal	Reasonable	Special	Objective Required
Board Operations						
1. Board Policies	Recommend	a. Updated and referenced	x			
		b. Meet legal requirements	x			
		c. Revised personnel section		x		x
2. Board Agenda	Prepare	a. Information available	x			
		b. Options provided	x			
		c. Encourages community input	x			
3. District Goals	Recommend	a. Up-to-date		x		x
		b. Citizen input			x	
		c. Consistent with objectives and programs	x			

IMPLICATIONS
For Exercise Six

Your school board has now developed all the basic information for performance appraisal. You have determined the areas that you want to evaluate, the superintendent's role in each area, and what you expect to occur in each area. All that remains is to put this information into useable form.

The information that your board developed in Form 10 should cover the complete range of activities of the superintendent. This form contains the nuts and bolts of your appraisal system. In the remaining exercises, your board will analyze the functions and tasks listed in Form 10 and determine which ones to use initially for evaluation. It is possible, in fact, to write objectives directly from this form. To develop objectives, the board would combine the key word with the effectiveness indicators to complete a statement expressing what is to be accomplished. This statement becomes an objective when put into a time frame. For instance if the task is *policy development*, the key word is *advise*, and an indicator is *to update*, the performance objective might be *to advise the board of policy changes required by Title IX by January 1*. The expected result would be policies acceptable to the board (and perhaps the board attorney).

However, to begin writing objectives now would be to overlook the importance of establishing priorities. The board may not want to develop objectives for tasks which the superintendent is already handling to the board's satisfaction or tasks which the board considers routine in nature (such as the minimal responsibilities discussed on page 66 of the *Planned Appraisal* handbook).

Moreover, the board may want to develop objectives for any major problems revealed in Exercises Three and Eight; characteristics and skills are not part of Form 10.

EXERCISE SEVEN—Preparing Job Descriptions

It is a relatively short step from Form 10 in Exercise Six to a job description based on performance. This step involves the writing of performance responsibilities. Each of these consists of a general statement covering the range of duties within each job function and using the key word that describes the superintendent's role. (See the sample job description on pages 56 and 57 in the handbook.)

There are other statements required in the job description that can be provided by the superintendent. They are title, qualifications (certification), to whom he reports (the board), and whom he directly supervises (assistants, principals, etc.). The major activity to be completed in Exercise Seven is to list the performance responsibilities for the job. The purpose of this exercise is to prepare a performance based job description using the information from Form 10.

STEPS

___1) Review "A Job Description," beginning on page 52 of the handbook.

___2) Board involvement in this activity is optional. The superintendent can prepare the job description and present it to the board for approval. Or the board may prefer to work through it as a group activity. Another option is to do it both ways, compare the results, and "negotiate" a final document that is mutually acceptable.

___3) Whoever is drafting the job description can use Form 11. First, complete all of the information at the top, based on input from the superintendent. The goal statement can be done at any time.

___4) Using the sample job description on pages 56 and 57 of the handbook and the completed Form 10 from Exercise Six, write broad, general statements for each of the superintendent's responsibilities. If the responsibility (district function) is too broad, use specific tasks, but group them into as small a number as possible. Do not try to include all specific tasks in the job description.

Each statement should begin with the word "To" immediately followed by the applicable key word (for example, "To recommend," "To advise," etc.). Because these are not specific objectives, time parameters are not needed.

___5) When all of the performance responsibilities from Form 10 have been covered, review the job description. Have any responsibilities been left out? Does it adequately explain to anyone unfamiliar with the district what the superintendent does? Compare it to your existing job description if you have one.

___6) Have the job description officially approved by the board and adopted as policy.

___7) The moderator should read aloud the Implications below. Then proceed to Exercise Eight.

IMPLICATIONS

Job descriptions are never final and should be reviewed annually. Because the job description summarizes the superintendent's responsibilities in the district for all to see, the superintendent should make sure that it is consistent with what he is actually doing and with the performance appraisal procedures and criteria agreed upon in Exercises Five and Six.

The job description also should serve as a monitoring device to ensure that specific appraisal objectives are not all concentrated under one or two district functions. It is probably unfair for a board to evaluate the superintendent only on staff relationships when the teacher union decides to take a "no confidence" vote, for example, because staff relationships usually represent only one of many performance responsibilities. A good job description can be used to prevent this inconsistency.

As an outgrowth of the performance appraisal system, the job description is not difficult to prepare. Every other job in the school system should be subjected to similar analysis. If the board is made aware through staff job descriptions of the responsibilities of both the superintendent and the rest of the staff, it will make the board's appraisal more realistic and more specific. It will be in the superintendent's best interests to see that job descriptions are developed for all staff positions and that they are consistent with both his expectations and his job description.

EXERCISE EIGHT—Using Checklists to Discover Areas for Improvement

Checklists are not designed to evaluate performance. They are used primarily for making judgments about traits, skills, or behavior. The authors recommend that such lists not form the sole basis for superintendent evaluation. Rather, they should be used as one of the ways to identify problems that need solving or areas that need improvement. The checklist serves best as a basis for discussion, enabling board members to reach agreement and speak with a single voice.

The relationship between the school board and superintendent is distinguished from the normal employer-employee relationship in that the employer (the board) is not in daily contact with the employee. The board does not serve as a supervisor. At other levels of the school organization, supervisors have some expertise and a great deal of understanding about each employee's job. Their knowledge of the employee's work and their managerial ability are prerequisites for holding their jobs. Such supervisors can advise and instruct employees on how to do their work.

By law, however, school boards perform a lay, policy making function. Individual board members are not expected to possess particular management skills or knowledge. If a board member happens to possess such skills or knowledge, he or she still represents just one vote on the board and cannot exercise them on a day-to-day basis. Because board members come from many walks of life, it is unfair and impractical to assume that they come with an understanding of school management. This understanding must be acquired with experience. Yet, these same board members must appraise the superintendent's performance in running the school district according to their policies.

Most board members want their superintendent to be an effective manager. Yet, many have no way of knowing what a good manager is or of understanding precisely the duties of the superintendent. A conscious effort is required to learn these things. It is recommended, therefore, that the board each year review the basic managerial abilities required of the superintendent. This review will be instructive for board members as well as identify certain strengths and weaknesses of the superintendent. The review ought to be an integral part of the annual appraisal of the superintendent's performance.

As stated earlier, the evaluation of traits, skills, and behavior should not be confused with evaluation of performance. However, the review of managerial characteristics can uncover explanations for weak or strong performance by identifying personal weaknesses or strengths of the superintendent. Also, such a review gives the superintendent an opportunity to learn of any concerns that board members have which would not otherwise surface in the normal course of performance appraisal. These concerns may be entirely subjective and may relate to virtually any aspect of the superintendent's personality, behavior, or relationship with the board. Such concerns, if they come out in the open, may be regarded as fair or unfair. But above all they must be regarded as real and dealt with in a mature fashion by both the superintendent and the board.

When a superintendent and school board part company, the reason is more often a breakdown in communication than a lack of results. Because the board-superintendent relationship is a critical one, problems identified in reviewing managerial abilities should be incorporated into the appraisal system. Specific objectives can be written to deal with the more difficult problems. In fact, the most important performance objectives might be those designed to improve the relationship between the board and the superintendent.

The purpose of Exercise Eight is to look at generally accepted managerial abilities in an attempt to (1) acquaint the board with what managers are generally expected to do and (2) to reveal any specific abilities that the board feels the superintendent needs to improve.

STEPS

In this exercise, board members will make individual judgments about the managerial ability of their superintendent. Then they will discuss those judgments and arrive at a group profile. The final step will be to present the board's findings to the superintendent in a way that is clear, constructive, and useful.

Board members who may be shy about sharing their views of the superintendent with other members of the board should be forewarned. Each member of the board will be called upon to share his or her ratings of such things as the superintendent's reliability and decision making ability. Where there are differences of opinion, the board member may be asked to defend those ratings or modify them.

Before beginning this exercise, the board should decide whether it wants the superintendent present during board discussion of the ratings. Some authorities maintain that the superintendent should never be excluded from board deliberations. The authors maintain here, however, that this process should probably be an exception. For one thing, the superintendent is entitled to hear the findings of the board expressed as one voice of the total board. Individual findings will sometimes be conflicting and often will be modified through group discussion. For another thing, board members need an opportunity to express even their most tentative concerns without fear that such concerns will be cast in concrete even if proved groundless. With the superintendent present, board discussion of negative ratings simply may not be entirely candid. Although recognizing that some boards will decide to the contrary, the authors suggest that the superintendent not take part in this exercise until the board is ready to present its conclusions.

___1) Remove the "Managerial Ability Profile," Form 12, from the pocket and read the instructions.

___2) Each board member should work independently in filling out the questionnnaire completely. No discussion except for clarifying the meaning of terms, etc. Each board member should record his or her own views by placing check marks (✓) in the appropriate spaces.

___3) When everyone has completed the questionnaire, the moderator should ask each board member to report his or her rating, taking one item at a time. Very brief statements of reasons for ratings should be encouraged. The group should try to reach complete agreement on the rating for each item. Failing that, abide by majority rule. Record the group decision by placing an (x) in the appropriate column. When completed, each board member's Form 12 will contain the individual ratings (✓) and the total board's ratings (x).

___4) When the total board has agreed on group ratings for all items, invite the superintendent to rejoin the meeting.

___5) The moderator should go through the items and report the total board's ratings to the superintendent. The superintendent can record the group ratings on his copy of Form 12.

___6) When the superintendent has heard the ratings for all items, he should be given an opportunity to:

a) Ask the board for clarification or explanation of any rating(s). The moderator can summarize the board's thinking and other board members should feel free to add their views or express dissenting opinions.

b) Explain any factors which might affect the ratings—such as a lack of board policy, a lack of time, etc.

It is essential that the superintendent fully comprehend the board's meaning, its reasoning, and its expectations regarding future improvements. Also keep in mind that now is a good time for the board to learn more about the superintendent's job and the superintendent as a person. Therefore, the superintendent should be called upon to explain why certain things are the way they are and to try to reconcile any differences he may have with the board's perception of his managerial abilities.

___7) The next step is for the board and superintendent to agree on steps toward improvement and to reduce that agreement to writing. Examine Form 13, the "School Board and Superintendent Compact." Note the following:

a) The Compact focuses on weaknesses. The board should not fail to reinforce with

praise those things in which the superintendent has shown skill and competence to the satisfaction of the board.

b) The board and superintendent are asked to make a distinction between weaknesses which the superintendent can readily correct and those which are more critical or call for long-term efforts.

c) The Compact provides a place to list board weaknesses that need correcting. Such weaknesses may or may not surface through the discussion in this exercise. If they do surface, such weaknesses should not be ignored or forgotten. Improper board practices can make it impossible for the superintendent to demonstrate adequate managerial ability.

NOTE: For items where a majority of the board marked "don't know," the problem may be a lack of familiarity with the superintendent's job. Or it may simply mean that the board does not consider the item particularly important. This should come out through discussion if the superintendent is to receive a clear picture of the board's thinking.

The board and superintendent should devote as much time as they need to fill out the Compact, for it represents a "meeting of the minds." In Exercise Ten, the group will write performance objectives for each item listed under Part 2 of the Compact. Keep in mind that neither the ability profile nor the Compact represents an appraisal of performance (results). They do represent the board's appraisal of the traits and skills that the superintendent brings to the job.

EXERCISE NINE—Classifying Effectiveness Indicators

The school board need not evaluate everything about the superintendent or his job. In fact, even if the board wanted to, it would be impossible to cover everything.

Reread pages 65 to 70 of the *Planned Appraisal* handbook for suggestions on establishing priorities. The authors recommend that the superintendents' responsibilities be grouped into three categories—minimal, reasonable, and special. This grouping is relatively simple and allows the board to set aside those functions and tasks which do not call for appraisal. Then the board and superintendent can focus their efforts on functions and tasks which are crucial or need the most improvement.

The board, therefore, should be selective in picking items for writing performance objectives. Each task does not require an objective every year. Too many objectives spreads the appraisal process too thin, minimizes the importance of truly critical needs, and reduces the effectiveness of the superintendent.

Even though the superintendent may be held responsible for a multitude of functions and tasks, those classified as *minimal* are simply expected to be done. They should be considered as day-to-day, routine aspects of the job. They become important enough to write performance objectives only when exceptions occur; that is, when performance becomes unsatisfactory. *Reasonable* expectations are those things that the board wants to accomplish beyond the minimum. They may represent a reasonable standard of excellence or improvement. Recognize, however, that not all things that need doing require specific written objectives. But they must be reflected in the job description or board policy so that the superintendent will know what is expected.

Special expectations are long range and usually require planning and the study of alternatives and potential problems. They may require much work, and if important, specific objectives should be written with the understanding that they will be accomplished in stages. Each stage needs review before further stages are established. Only a few special expectations should be considered in any given year.

This exercise sets the standards for your appraisal program and will force the board and the superintendent to consider what is really important for their district. Both the board and the superintendent need to agree on the classification of responsibilities and select those requiring written performance objectives.

STEPS

___1) Turn back to Table H on page 27. Review the example given under "Board Operations," noting how each effectiveness indicator in Column C is classified according to the board's expectations in Column D.

___2) Look again at Form 10. Now the board and superintendent must reach agreement on the classification of each effectiveness indicator. Then they should record that agreement under Column D by placing a check mark in the appropriate column—minimal, reasonable, or special. The initial classification may be done by the superintendent, who can then provide copies to the board for discussion. Or the board and superintendent may wish to jointly discuss each item prior to classification. Regardless of which method is used, the board and superintendent should agree on which tasks are minimal, reasonable, and special.

___3) The board and superintendent should then discuss and reach agreement on any items which are critically important or which represent outstanding problems or challenges. These should be checked in Column E as requiring performance objectives.

___4) If the board finds that its listing of effectiveness indicators is incomplete, the board can add to the list. This would be especially important for any item that belongs in the reasonable or special categories which might have been overlooked earlier.

___5) The moderator should read aloud the Implications on page 34.

___6) Proceed to Exercise Ten, where the board and superintendent will write performance objectives for each management task that the board checked in Column E.

IMPLICATIONS
For Exercise Nine

You have now set priorities for all areas of responsibility you consider important in managing your district. You have also defined the superintendent's job in great detail; in effect designating what he is expected to do as a part of the routine functions assigned (minimal), and what is important to consider doing in addition to the basic job (reasonable and special). You have probably passed 90 percent of the nation's school boards in: a) defining the superintendent's job, b) informing the board what the chief executive's job is all about, and c) allowing the board and superintendent to jointly determine what the superintendent should be doing based on the expectations of the board.

You have determined the direction to be taken by the district and set priorities. An annual revision of this form can provide the basis for future appraisal and objective setting. It is the board's basis for evaluation of the superintendent determined by what they expect and what they want. Even if Form 10 is incomplete, it's way ahead of most districts and can easily be refined in the months ahead.

EXERCISE TEN—Writing Objectives

Writing objectives is not easy, particularly if information is lacking. With the information and understanding developed in the first nine exercises, however, the task should be simplified. Your board and superintendent must now combine the information into a concise and understandable statement that tells:

- What is to be done?
- Who is to do it?
- By when?
- How will we evaluate?

With the exception of the time element, virtually all of this information should be available on Form 10.

In addition, the individual doing the job (the superintendent) should indicate what result is to be expected so that the evaluator (the board) will know what to look for. In addition, the board and the superintendent should establish specific priorities among the objectives under consideration. Once the objectives have been accepted by the board and the priorities established, they should form the basis for appraisal.

Objectives should be flexible enough to be altered during review sessions and to allow for "stretch" (not too easy). These objectives should include both *performance objectives* indicated in Form 10, Column E, and objectives based on traits and skills needing improvement, Form 13, Part 2. This latter type of objective would derive from problems identified in Exercises Three (Board-Superintendent Relationship) and Nine (Managerial Ability Profile). Combined with a *procedure* for evaluation (see pages 51 and 53 of the handbook), completion of this exercise will provide the basis for a performance appraisal system.

Procedures

Group writing can be more frustrating than productive. Although it is possible for the entire board to take part in drafting objectives, it is easier and faster to turn this part of the project over to one person—preferably the superintendent. The basic decisions as to what the board wants and expects have already been made. The only new information that is needed is a kind that can best come from the superintendent. And the new decisions that need to be made are ones that require both administrative research and recommendations.

The authors suggest, therefore, that the job of writing the objectives and designating the expected results be delegated to the superintendent (who in turn may want to delegate it to an assistant or a consultant). The school board would then discuss, modify, and ultimately approve the superintendent's recommendations.

The following instructions, therefore, are directed to the superintendent (or other individual) who is doing the writing. Of course, the instructions also can be used by the board working as a whole or in small groups. In any event, all board members should become familiar with the instructions so that they will grasp the nature of objectives and how they are written.

STEPS

___ 1) Make a list of the items for which objectives shall be written. Use a blank sheet of paper. To make certain that everything that the board wants to cover is included, go back and review the following:

a) **Form 10.** Tasks which require performance objectives are checked in Column E. Include all the tasks checked. Keep in mind that you will have to return to Form 10 to obtain key words and effectiveness indicators.

b) **Form 13.** Under Part 2 of this form are listed weaknesses in the superintendent's managerial makeup that the board wants to monitor. List these items as requiring objectives designed to bring about improvement.

c) **Form 8.** If there are any items listed as obvious weaknesses of the board or superintendent, consider using them as subjects for appraisal. Also, items listed as "areas of disagreement" should be considered if they appear troublesome. Here is an opportunity to write objectives designed to improve the performance of the school board as well as the superintendent.

___ 2) Form 14—Writing Objectives—is the form you will work with in this exercise. An example of how this form will look when completed appears in Table I. Take a moment

Table I—Sample Objectives

(A) Items for Appraisal *(Tasks and Traits from Forms 8, 10 and 13)*	(B) Related Job Description Section	(C) Objectives	(D) Priority	(E) Expected Results
Planning	4			
1. Measuring Progress		1. To *provide* by Jan., 1977, an analysis of the merits of a program planning and budgeting system allocating resources to grade and subject levels with administrative recommendations including a time and cost study. (Reasonable expectation)	1	A completed study including pros and cons which the board and superintendent can use to decide feasibility of a PPBS system.
2. Program Evaluation		2. To *provide* increased staff input into 1978-79 budget development at the building level via a program developed by the administrative team. (An exception to minimal expectation based on teacher complaints in negotiations.)	2	Activity report from principals at March board meeting.
3. Community Needs Assessment		3. To *provide* for the organization of an evaluation team which will compare current curricular guides with district goals and make recommendations relative to program or goal changes. (A special expectation requiring completion in stages.)	3	A progress report on team makeup, consultants, activities pursued, and anticipated timetable no later than June, 1977.
Board Operations	2			
1. Board Policies		1. To *recommend* for board adoption by March, 1977, those personnel policies which require revision because of new legislation and court decisions referenced to district personnel.	1	A revised set of personnel policies at March board meeting, approved by attorney.

to study this table, noting especially the objectives and expected results written for each management task.

___ 3) Begin Form 14 by inserting in Column A the first management task on your list. (You may also want to note the district function to which it is related.) In Column B you can note the item in the superintendent's job description to which the task is related. This is optional, but it's a good way to compare the general responsibilities set forth in the job description with the specific areas requiring evaluation. This can alert the board if there is a tendency to emphasize one or two responsibilities at the expense of others.

___ 4) In writing an objective for this first task, begin with the word "To," followed by the key action word from Form 10 (e.g., recommend, direct, implement).

___ 5) Form 10 tells more than simply which tasks require objectives. It tells what the board expects from the superintendent. The key word in Column B states the superintendent's role, and the indicator of effectiveness in Column C tells how the board will judge the superintendent's performance in filling that role.

However, Form 10 does not tell the superintendent exactly how he is to achieve the desired results or the length of time he has to achieve it. The superintendent must determine the "how" and the "when" and get school board agreement when he presents the objectives for approval. (It's also possible, of course, to reach agreement jointly in advance of the writing.)

___ 6) Don't forget to add a date by which the objective will be completed.

Here is an example of how these various components fit into an objective:

If the *district function* is "educational program;"
And if the *specific task* is "community input;"
And if the *key word* is "develop;"
And if the *effectiveness indicator* is "accurate feedback from parents;"
And if the superintendent determines that the best way to meet this expectation of the school board is with a survey of parents,
Then an objective may be written this way:

> "To develop a parent survey to provide feedback from parents relative to their interest in the school programs at various attendance centers to be submitted for board approval no later than March, 1990."
>
> or
>
> "To develop and disseminate a survey to determine parental attitudes toward the schools with the results to be submitted to the board no later than May, 1990."

Note that the difference between these two objectives lies in whether the superintendent is to provide the board with an intended survey form for approval prior to dissemination, or whether the board needs to see only the results and does not have to approve the form. These are distinctions that the superintendent should discuss with the board before the board approves the specific objectives.

___ 7) It's probably a good idea to draft objectives on a blank sheet of paper. When the wording suits you, write the objective in Column C of Form 14.

___ 8) In Column E, state the expected results by which the objective can be evaluated. That is, what will be the indicator that the project is completed and/or successful? This may be a rephrasing of the effectiveness indicator in Form 10. Or it may be something more specific or concrete than was originally envisioned by the board. The more specific the better, of course, but it is possible to strive too hard for specificity. Better to leave some results stated generally and ask the board to rely on the superintendent's judgment than to load up with trivial results just because they are tangible and easy to understand. Note the examples in Table I.

___ 9) Repeat this process in writing objectives and expected results for each item selected from Forms 10, 13, and 8.

___10) When objectives are written for all items, they should be ranked in priority order or assigned a priority weighting. This action might want to be reserved for discussion by the entire board. Superintendent recommendations, however, would be appropriate. Priority rankings should be recorded in Column D.

___11) If less than the total board was involved in drafting the objectives, copies of Form 14 should be made for all board members. The board should meet and discuss thoroughly the contents of Form 14. The board should reach agreement on each item and then assign priorities. When objectives and expected results have been finally approved by the board, each board member and the superintendent should receive a complete copy.

___12) The superintendent should make certain that he and his staff can meet all of the board's expectations reflected in the objectives. They should begin with the items of highest priority.

___13) Proceed to the concluding discussion on the next page, "Where Do We Go From Here?" The moderator should lead the group in a thorough review of this final section.

WHERE DO WE GO FROM HERE?

Finishing the ten exercises in this workbook is really just a beginning, both philosophically and practically.

From a philosophical standpoint, the authors expect that the board and superintendent have achieved new insights into themselves and their relationships. Good communication generates all kinds of favorable possibilities for the future.

From a practical standpoint, much work remains to be done. These ten exercises do not represent the completion of an appraisal process. They represent the *beginning* of a process—a first step, albeit a very large one.

Immediately upon completion of Exercise Ten, these steps should be taken:

1) The board and superintendent should set a schedule for review sessions (at least quarterly is recommended). At these sessions the superintendent should discuss his progress with the objectives and any unforeseen difficulties that might arise. New conditions may alter the board's expectations or the superintendent's ability to complete a project on schedule. These matters should be taken care of promptly.

2) A timetable for appraisal meetings during the next year also should be set. Performance appraisal is not complete until the board appraises the superintendent's performance in carrying out his objectives. Some boards can accomplish this appraisal review in one meeting per year; others will want to schedule additional meetings. Some boards will want to link the appraisal meeting with the superintendent's contract renewal. (See pages 22 to 25 of the handbook for legal guidelines.) However, many experienced boards prefer to keep appraisal and contract renewal entirely separate, because they view appraisal as a way to set directions for district improvement rather than as a way to determine contract terms.

The first cycle of appraisal will be complete only after the board evaluates the superintendent's performance in relation to the objectives written in Exercise Ten. Then the cycle begins again, although the board should not have to go through the ten exercises every year in their entirety. The board will, however, have to go through some of the same steps each year in order to keep the appraisal process alive, to properly orient new board members, and to keep the superintendent's objectives up-to-date. Form 15 provides a sample evaluation instrument which can be used for performance appraisal of the superintendent and Table J offers suggestions for conducting an annual review of performance.

BOARD POLICY

An early priority should be the adoption of a school board policy regarding appraisal of the superintendent. The policy should include the following:

1) A clear statement of what superintendent appraisal is supposed to accomplish. What are the purposes? The board's responses in Exercise One should provide the necessary answers.

2) A description of what will be done, how, by whom, and when.

Hopefully, item 2 above will reflect the procedures set forth in this workbook, although they definitely should be modified to suit each particular board and superintendent. In drafting the board policy, turn to page 19 of this workbook, "Ten Steps Toward Performance Appraisal of the Superintendent." Note that, with a good job description, the first four steps need not be repeated each year unless the superintendent's job is being altered. The policy might provide for an annual review of the superintendent's job description and definitely should provide for a review of management responsibilities (functions and tasks), school board expectations (minimal, reasonable, and special), and the writing of new objectives. Steps Six through Ten provide the basis for annual appraisal if repeated each year.

There are some other procedural questions which need to be agreed upon and included in the policy:

1) Will the review of performance and the setting of new objectives be handled at the same meeting or separate meetings?

2) How will the board's appraisal be communicated to the superintendent? Will it be put in writing? If so, how will its confidentiality be protected?

3) How will the board amend its appraisal policy and procedures? Refinements are sure to suggest

themselves as the board gains experience.

Satisfactory answers to these questions will depend upon careful thought and study. The *Planned Appraisal* handbook is a good source of ideas and warnings about pitfalls. In particular, the board and superintendent should read Chapter Eight for guidance in planning appraisal meetings.

THE COMMUNITY

Unless it has already been done, the board and superintendent should review "Confidentiality and Community Interest" on page 5 and consider the need for official actions in public meeting and/or public statements.

CONCLUSION

The foregoing represents a lot of work. The authors suggest, however, that results in the long run will justify the effort. By this point, the superintendent should have much more flexibility in managing without the need to justify his every action. The board should feel more comfortable in knowing what's going on and in having played a large part in directing the activities of the district. The board has the information necessary to inform the community about what's going on and why particular activities are happening. Above all, the relationship between the board and superintendent should be honest and open and based upon a knowledge of what to expect from one another.

Table J—The Annual Appraisal Review

The annual appraisal review is a two-way discussion of the superintendent's performance over the entire year.

BENEFITS

1. Improved performance
2. Improved motivation
3. Reduced tension and anxiety
4. Stronger relationship
5. Increased realism
6. Acquire maximum learning from experience
7. Better objectives for the next year

PREPARATION FOR THE ANNUAL REVIEW

1. Superintendent submits a brief written report on objectives accomplished.
2. Superintendent prepares to discuss the following questions:
   - Which objectives were most satisfactorily achieved?
   - What were the reasons for this satisfactory performance?
   - Which objectives were less satisfactorily achieved?
   - What were the reasons?
   - What was learned from the past year of experience?
   - What are the implications for the year ahead?
3. Board and superintendent jointly analyze accomplishments and prepare a balance sheet.
4. Provide documentation, including the superintendent's formal response to the appraisal.

Here are all the forms you need to complete the exercises

FORM 1—How Does Our District Operate?

Questions	Individual Responses			Group Responses			Summary and Needs
	Yes	No	Don't Know	Yes	No	Don't Know	
1. Do we have an identifiable management structure?							
2. Do I know who is responsible for doing what?							
3. Do we have written district goals?							
4. Do we have written policies?							
5. Do we have written job descriptions for administrators?							
6. Does our board operate as:							
a) a custodial board?							
b) a lay administrative board?							
c) a policy making board?							
7. Does our board expect the superintendent to operate as a							
a) manager type?							
b) custodial type?							

(over)

Form 1 continued

Questions	Individual Responses			Group Responses			Summary and Needs
	Yes	No	Don't Know	Yes	No	Don't Know	
8. Do we want to operate only to maintain the status quo with no new programs or goals?							
9. Is the district without critics?							
10. Are we now doing everything we will ever need to do?							
11. Are there absolutely no immediate problems needing solution?							
12. Do we expect the superintendent to provide leadership?							
13. Do we know what we expect the superintendent to do?							
14. Do we have a procedure to evaluate these expectations?							
15. Do we have a commitment from the board and superintendent to openly, honestly, objectively, and jointly develop an evaluation system?							

FORM 2—Preparations for Appraisal

Things we already have available	Location

Things we need to do	Person Responsible	Due Date

FORM 3—Selecting Criteria for Superintendent Appraisal

Column A

Individual board members each list below five to ten factors or criteria which you believe are essential in evaluating a superintendent's effectiveness. (For suggestions, see Table B on page 13.)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Column B

Total board discuss the appraisal criteria proposed by individual board members in Column A. Reach a group consensus on the ten most important criteria and list below.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

FORM 4—Analyzing Appraisal Criteria

	Individual Responses *(from Form 3, Column A)*		**Group Responses** *(from Form 3, Column B)*	
	Traits and Skills	**Management Responsibilities**	**Traits and Skills**	**Management Responsibilities**
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
16.				

FORM 5—Superintendent Image Questionnaire

Please respond to the following questions honestly and frankly in reference to the superintendent. Please circle your answer. If you have no basis for an answer, do not respond.

What is your opinion concerning the superintendent's behavior:	Seldom or Never	Occasionally	Usually	Always
1. **Expression:** Expresses ideas smoothly and articulately.	1	2	3	4
2. **Consideration:** Is patient, understanding, considerate and courteous.	1	2	3	4
3. **Enthusiasm:** Shows interest and enthusiasm toward work.	1	2	3	4
4. **Knowledge:** Demonstrates a thorough knowledge and understanding of school administration.	1	2	3	4
5. **Perseverance:** Demonstrates the initiative and persistence needed to accomplish goals and objectives.	1	2	3	4
6. **Supports staff:** Supports people who are responsible to him.	1	2	3	4
7. **Adjustment:** Adjusts rapidly to changes in plans or procedures.	1	2	3	4
8. **Conflict resolution:** Functions effectively under pressure.	1	2	3	4
9. **Openness:** Considers divergent views.	1	2	3	4
10. **Delegation:** Assigns tasks to persons capable of carrying them out.	1	2	3	4
11. **Creativity:** Shows a willingness to try new approaches or methods.	1	2	3	4
12. **Leadership:** Creates a feeling of unity and enthusiasm among those in contact with him.	1	2	3	4

(over)

Form 5 continued

	Seldom or Never	Occasionally	Usually	Always
13. **Sense of humor:** Demonstrates a sense of humor at appropriate times.	1	2	3	4
14. **Effectiveness:** Makes effective decisions.	1	2	3	4
15. **Evaluation:** Effectively evaluates programs, practices, and personnel.	1	2	3	4
16. **Understanding:** Is conscious of the problems that face the school board.	1	2	3	4
17. **Emotional control:** Maintains control of emotions when things are not going right.	1	2	3	4
18. **Communication skills:** Communications are properly written and accurately express his thoughts and ideas.	1	2	3	4
19. **Supports board:** Supports the policies, procedures, and philosophy of the board of education.	1	2	3	4
20. **Trust:** Makes people feel that he is trustworthy.	1	2	3	4

FORM 6—Board of Education Evaluation Questionnaire

Here are 19 statements about your school board's operations. Please react to each of them by circling the appropriate number at right. If you have no basis for your answer, do not respond.

NOTE: You are evaluating the board as a whole, not individual members. Therefore, your responses should be based on how you see the total board, although one person's behavior can lower your rating of the entire board.

	Seldom or Never	Occasionally	Usually	Always
1. **Information:** A systematic, ongoing program is conducted by the superintendent and staff to provide board members with information pertinent to their responsibilities.	1	2	3	4
2. **Orientation:** A systematic program is conducted by the staff to orient newly elected or appointed board members to the nature of their duties and responsibilities and to acquaint them with board policies and operating procedures.	1	2	3	4
3. **Policies:** The board operates according to written policies, and updates policies at least annually; changes are considered whenever necessary.	1	2	3	4
4. **Policy implementation:** Once a policy is adopted, both board and staff adhere to it.	1	2	3	4
5. **Proper role:** The board acts as a policymaking and governance body and holds the superintendent responsible for the administration and evaluation of school programs.	1	2	3	4
6. **Staff relationship:** The board, before deciding any matter (other than the superintendent's contract), provides the superintendent with ample opportunity to develop staff recommendations for action.	1	2	3	4
7. **Conflict resolution:** The board does not respond to emotional pressure. It provides the superintendent with opportunity to develop policy proposals and does not write "instant policy" under the gun of emergencies.	1	2	3	4
8. **Openness:** The board conducts its meetings in a climate of free and open, but orderly discussion.	1	2	3	4
9. **Decorum:** The board has adequate understanding of and skill in following parliamentary procedure.	1	2	3	4

(over)

Form 6 continued

	Seldom or Never	Occasionally	Usually	Always
10. **Preparation:** Board members come to meetings prepared to contribute to discussions and do not waste meeting time by asking for information that has already been provided.	1	2	3	4
11. **Representation:** Board members are representatives of the entire community and not of special interest groups, and are committed to the welfare of the public schools.	1	2	3	4
12. **Feedback:** When considering recommendations of citizens and special interest groups, the board reports its reactions and reasons which may not allow it to implement all recommendations.	1	2	3	4
13. **Mutual respect:** The board and superintendent work comfortably together and in a spirit of mutual confidence. The superintendent respects the governance responsibility of the board; the board respects the day-to-day executive responsibility of the superintendent.	1	2	3	4
14. **Delegation:** The board and superintendent are diligent in writing policies that are sufficiently comprehensive; the administration has the authority to deal with most day-to-day problems without turning to the board for guidance.	1	2	3	4
15. **Evaluation:** The board has developed, in cooperation with the superintendent, a set of criteria which are used as the basis for evaluating the performance of the superintendent at least annually.	1	2	3	4
16. **Fairness:** The board approaches its evaluation of the superintendent fairly and diligently.	1	2	3	4
17. **Conflict of interest:** Official actions of board members concern only the welfare of the school system; no member uses the office of school board member for personal profit, advancement, or patronage.	1	2	3	4
18. **Individuality:** Members are careful to speak publicly on issues only as individual board members, recognizing that only the entire board can decide a certain course of action.	1	2	3	4
19. **Priorities:** The board regards the setting of goals and objectives, making of long-range plans, establishing of priorities, and developing of policies as its major responsibilities.	1	2	3	4

FORM 7—Individual Tally of Strengths and Weaknesses

The Superintendent's		The School Board's	
Strengths	Weaknesses	Strengths	Weaknesses

(over)

Form 7 continued

The Superintendent's		The School Board's	
Strengths	Weaknesses	Strengths	Weaknesses

Form 8—Group Tally of Strengths and Weaknesses

This form will identify what the school board and superintendent view as obvious strengths and obvious weaknesses in the performance of both the board and the superintendent.

Using responses transferred from the Individual Tally Sheets, the tabulator should record the following:

- Under *obvious strengths* list those behaviors or traits where participants are unanimous in their belief that the item is a strength.
- Under *obvious weaknesses* list those behaviors or traits where participants are unanimous in believing that the item is a weakness.
- Under *areas of disagreement* list those items which show up in *both* the strengths column and the weaknesses column of different participants.

Superintendent

a) Obvious strengths are:

b) Obvious weaknesses are:

c) Areas of disagreement are:

(over)

Form 8 continued

School Board

a) Obvious strengths are:

b) Obvious weaknesses are:

c) Areas of disagreement are:

FORM 9—Management Responsibilities and Roles

Management Responsibilities		Role Clarification (Key Action Words)			
(A) District Functions	(B) Management Tasks	(C) Individual Choices For:		(D) Group Choices For:	
		Board's Role	Superintendent's Role	Board's Role	Superintendent's Role

Form 9 continued

Management Responsibilities		Role Clarification (Key Action Words)			
(A) District Functions	(B) Management Tasks	(C) Individual Choices For:		(D) Group Choices For:	
		Board's Role	Superintendent's Role	Board's Role	Superintendent's Role

FORM 10—Indicators of Effectiveness and School Board Expectations

(A) Management Responsibilities (Functions and Tasks)	(B) Key Word—Superintendent's Role	(C) Indicators of Effectiveness	(D) Board Expectations			(E)
			Minimal	Reasonable	Special	Objective Required

Form 10—page 2

(A) Management Responsibilities (Functions and Tasks)	(B) Key Word—Superintendent's Role	(C) Indicators of Effectiveness	(D) Board Expectations			(E)
			Minimal	Reasonable	Special	Objective Required

Form 10—page 3

(A) Management Responsibilities (Functions and Tasks)	(B) Key Word—Superintendent's Role	(C) Indicators of Effectiveness	(D) Board Expectations			(E)
			Minimal	Reasonable	Special	Objective Required

Form 10—page 4

(A) Management Responsibilities (Functions and Tasks)	(B) Key Word—Superintendent's Role	(C) Indicators of Effectiveness	(D) Board Expectations			(E)
			Minimal	Reasonable	Special	Objective Required

FORM 11—Superintendent's Job Description

TITLE: Superintendent of Schools

QUALIFICATIONS: As set by State certification authorities

REPORTS TO: Board of Education

SUPERVISES: 1.
2.
3.
4.
5.
6.

JOB GOAL:

PERFORMANCE RESPONSIBILITIES:

1.

2.

3.

4.

5.

6.

(over)

Form 11 continued

7.

8.

9.

10.

11.

12.

13.

14.

15.

TERMS OF EMPLOYMENT:

EVALUATION:

Approved by: _____ Date: _____

Reviewed and agreed to by: _____ Date: _____
(Incumbent)

FORM 12—Managerial Ability Profile

INSTRUCTIONS: For each factor below, you are asked to rate the superintendent on several elements and then to describe in your own words any other strong points and weaknesses. Base your ratings on your own first-hand knowledge. If you know only what you have heard from others, check the "Don't know" column.

Individual ratings—mark with a ✓. Group ratings—mark with an X.	Seldom or Never	Occasionally	Usually	Always	Don't Know
A. Personal Characteristics					
1. Objective in considering divergent and new points of view.					
2. Flexible in his approach to problems.					
3. Reliable—you can depend on what he says.					
4. Accepts responsibility; doesn't pass the buck.					
5. Adjusts easily to new situations, problems and methods.					
6. Keeps his head in an emergency.					
7. When things go wrong he works to fix them instead of making excuses.					
8. Would give an honest report on a problem even if it would hurt him personally.					
9. _____ _____					
B. Effectiveness With People					
1. Represents his organization effectively with the public.					
2. Is able to gain the confidence of the Board.					
3. His decisions on personnel problems promote morale and productivity.					
4. Doesn't like "yes men" as subordinates.					
5. Is able to deal effectively even with people who are opposed to him.					
6. Gets people who work for him to want to do their best.					

(over)

Form 12 continued

	Seldom or Never	Occasionally	Usually	Always	Don't Know
C. Decision-Making Ability					
1. Anticipates how people will react to his decisions and proposals.					
2. Absorbs new data and concepts quickly.					
3. First gets the facts, then decides.					
4. Changes his programs and methods in order to keep up with current needs and developments.					
5. Spots the key parts of complex problems—doesn't get lost on minor points.					
6. Effective in thinking of new approaches to problems.					
7. _____ _____					
D. General Executive Abilities					
1. Delegates authority effectively.					
2. Effective in checking on results.					
3. Sets priorities effectively.					
4. Corrects situations when they need improvement—doesn't wait for an emergency.					
5. A careful planner.					
6. Handles effectively the administrative details of day-by-day operations.					
7. Effective in presenting budget requests.					
8. Selects highly capable subordinates.					
9. Takes into account the public relations implications of his actions.					
10. Works effectively even under frustrating conditions.					
11. _____ _____					

FORM 13—School Board and Superintendent Compact

1. Here are weaknesses in the superintendent's managerial abilities which can be corrected through the superintendent's own initiative and without further monitoring by the school board:

2. Here are weaknesses in the superintendent's managerial abilities which the school board wants to continue monitoring through the use of performance objectives (to be used in Exercise 10):

3. Here are weaknesses in school board policies and practices which the board agrees to improve upon through futher study, the development of appropriate policies, or other action:

FORM 14—Writing Objectives

(A) Items for Appraisal *(Tasks and Traits from Forms 8, 10 and 13)*	(B) Related Job Description Section	(C) Objectives	(D) Priority	(E) Expected Results

Form 14—continued

(A) Items for Appraisal *(Tasks and Traits from Forms 8, 10 and 13)*	(B) Related Job Description Section	(C) Objectives	(D) Priority	(E) Expected Results

FORM 15—Report of the Superintendent's Annual Performance Review

(NOTE: This form is a sample that can be modified to meet the needs of each school district.)

_____ School District No. _____

INSTRUCTIONS: This form shall be completed following the Annual Performance Review, summarizing the Board's appraisal of the Superintendent's performance and specifying areas needing improvement. This report shall be completed in triplicate before signatures are affixed. One copy of the report is to be forwarded to the Superintendent by _____ of each year for his review. Prior to any action by the Board, the Board and the Superintendent will each receive their copies of the report with the recommendations outlined. If the Superintendent is not in agreement with the report he may request another meeting with the Board. Once final action has been taken by the School Board, the original copy of the report is maintained in the Superintendent's personnel file and one copy is to be retained by the Board President.

PART I—ATTAINMENT OF OBJECTIVES

The Board and the Superintendent recognize that, in addition to the objectives mutually agreed-upon, the Superintendent is expected to perform all routine duties and responsibilities at a level satisfactory to the Board.

1. Attached are (a) copies of the agreed-upon objectives and (b) the Superintendent's self-evaluation of his performance in achieving those objectives. The self-evaluation consists of the following for each objective:
   - Description of level or degree of attainment, with any supporting data, opinions, etc.
   - Analysis of level or degree of attainment, including factors beyond the Superintendent's control which influenced outcomes.
   - Identification of strengths and weaknesses in performance.
2. Summarize below the Board's appraisal of the Superintendent's performance in attaining agreed-upon objectives. *(Attach separate sheets if necessary.)*

   a. Specific areas needing improvement:

continued

b. Specific objectives satisfactorily achieved:

c. The Board's appraisal of the Superintendent's overall performance and effectiveness in pursuing objectives:

PART II—PERFORMANCE AREAS NOT SPECIFIED IN OBJECTIVES

The omission of specific reference to minimally expected performance responsibilities does not remove the obligation of the Superintendent to regularly meet the Board's expectations for these responsibilities. Such responsibilities are set forth in the Superintendent's Job Description and in related Board Policies and Resolutions. *(Attach separate sheets if necessary.)*

1. Areas of exceptional performance which merit recognition:

continued

2. Minimal responsibilities and/or reasonable expectations of the Superintendency which have created problems or need improvement:

PART III—SUPERINTENDENT'S RESPONSE

The Superintendent may respond here to the Board's appraisal in Parts I and II, citing extenuating circumstances, differences of opinion, etc. *(Attach separate sheets if necessary.)*

continued

PART IV—CONCLUSION

If appropriate, the Board should record here any additional comments, recommendations, or actions taken. *(Attach separate sheets if necessary.)*

SIGNATURES: (Signature verifies authenticity of this report, but does not indicate acceptance of opinions or comments.)

Superintendent _____

Board President _____

Date _____